



VIRGINIA DEPARTMENT OF  
**EDUCATION**

**VIRGINIA ADULT EDUCATION AND LITERACY  
CONTINUATION GRANT APPLICATION PACKET**

**2015-2016**

Office of Adult Education and Literacy  
P.O. Box 2120  
Richmond, VA 23218-2120

## **Our Vision**

*Every Virginian is prepared with the knowledge, skills, and credentials necessary to excel in the 21<sup>st</sup>-century economy.*

## **Our Mission**

*As a partner in Virginia's work force development system, the Office of Adult Education and Literacy strengthens the Commonwealth's economy by supporting innovative, effective educational programs that prepare individuals for college, careers, and responsible citizenship.*

## **Our Values**

*Dedicated – We are committed to achieving excellence.*

*Responsive – We provide prompt, high quality customer service, guidance, and technical assistance to our programs and the public.*

*Progressive – We continuously improve the field of adult education through analysis, innovation, and collaboration.*

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## ANNOUNCEMENT OF FUNDING AVAILABILITY

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The Virginia Department of Education (VDOE), Office of Adult Education and Literacy (OAEL), will make funds available for grants to support Adult Basic Education (ABE), Adult Secondary Education (ASE), and English Language Learner (ELL) programs in Virginia. Funding is provisional and contingent upon the availability of funds from the United States Department of Education (USED) and the Virginia General Assembly.

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TITLE	Virginia Adult Education and Literacy Grant Program
ISSUING AGENCY	Virginia Department of Education Office of Adult Education and Literacy P.O. Box 2120 Richmond, Virginia 23218-2120 Phone: 804-225-2053
ELIGIBLE APPLICANTS	A local education agency; a community based literacy organization of demonstrated effectiveness; a volunteer literacy organization of demonstrated effectiveness; an institution of higher education; a public or private nonprofit agency; a library; a public housing authority; a nonprofit institution that is not described previously and has the ability to provide literacy services to adults and families; and a consortium of the agencies, organizations, institutions, libraries, or authorities described previously.
FUNDING AUTHORITY	Workforce Innovation and Opportunity Act of 2014, Title II, Adult Education and Family Literacy Act, PL 113-128 Virginia Acts of Assembly
GRANT PERIOD	Federal Awards: July 1, 2015 – June 30, 2016 State Awards: July 1, 2015 – May 31, 2016
APPLICATION SUBMISSION DEADLINE	June 5, 2015

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The application materials (one original and four copies) may be mailed, hand delivered, or commercially delivered to the appropriate address below. Applications must be received by OAEL **no later than 2 p.m., June 5, 2015**. Faxed copies will not be accepted. Applications not meeting the delivery deadline will not be considered.

### Physical Address

Melissa Dixon, Grants Manager  
Office of Adult Education and Literacy  
James Monroe Building, 21st Floor  
101 North 14<sup>th</sup> Street  
Richmond, Virginia 23219

### Mailing Address

Melissa Dixon, Grants Manager  
Office of Adult Education and Literacy  
P.O. Box 2120  
Richmond, Virginia 23218-2120

## OVERVIEW and FUNDS AVAILABLE

## OVERVIEW

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This Request for Proposal (RFP), issued by the Virginia Department of Education's Office of Adult Education and Literacy (OAEL), includes an application package for the federal adult education and literacy grant funds authorized by the *Workforce Innovation and Opportunity Act (WIOA) of 2014*, Title II, *Adult Education and Family Literacy Act (AEFLA)*, Public Law 113-128. These funds are to be used by grant recipients for the delivery of approved adult education and literacy services beginning July 1, 2015, and continuing through June 30, 2016.

*Please Note:* OAEL reserves the right to extend 2015-2016 funding to the recipients of the 2012-2013 competition.

Continuation of funding to programs that were granted awards under the 2012-2013 competition is based on both input measures (program administration and operations reflecting evidenced-based and research-based best practices) and output measures (achievement of annual federal and state performance goals).

All funding is subject to the allocation and availability of funds by the United States Congress and the Virginia General Assembly.

Applicants are required to maintain the rigorous level of program administration and program accountability required of grant recipients under the 2012-2013 competition.

Eligible applicants should refer to the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, effective March 1, 2009, for further descriptions of all applicable procedures required by the grant. When applicable, the appropriate section of the manual is identified in this application packet. The manual is located on the OAEL Web site at [www.doe.virginia.gov/instruction/adulted/program\\_policy\\_guidance/index.shtml](http://www.doe.virginia.gov/instruction/adulted/program_policy_guidance/index.shtml).

## FUNDS AVAILABLE

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### FEDERAL ADULT EDUCATION AND FAMILY LITERACY ACT (AEFLA) FUNDS

AEFLA funds support three major instructional services. First, they provide for adult basic education (ABE) instructional services for adults who are performing below the ninth-grade level in reading, writing, mathematics, and other basic skills. Second, the funding supports adult secondary education (ASE) instruction for adults who are performing at or above the ninth-grade level in reading, writing, mathematics, and other basic skills. Many adults at the ASE level are preparing for the General Educational Development (GED<sup>®</sup>) test or another high school equivalency (HSE) option. The third area is English language learner (ELL) instructional services. These services are designed to increase the English reading, writing, speaking, and

comprehension skills of adults. Approved programs may also include civics-related and work force preparation activities.

#### **STATE GENERAL ADULT EDUCATION FUNDS**

General Adult Education (GAE) funds support adult education and literacy instruction, including ABE, HSE preparation, ELL services, and adult diploma programs. Funding is provided annually through an application submitted by approved AEFLA providers. No local match is required.

#### **STATE LEAD AGENCY COORDINATING FUNDS**

The fiscal agents of approved AEFLA providers will receive state funds to assist with the costs associated with the administration of adult education and literacy programs. These funds will be allocated to fiscal agents through a two-step process that ensures each fiscal agent receives a base amount that is supplemented by an additional allocation that is reflective of each region's percentage of the total need for adult education and literacy services in the Commonwealth. The intent of these funds is to support the employment of a full-time regional adult education and literacy program manager and a part-time regional adult education specialist and other approved administrative expenses related to the implementation and management of the regional adult education program. Descriptions of the responsibilities associated with the regional manager and specialist positions are included in this RFP on pages 35 through 38.



## GRANT REQUIREMENTS

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**[S] – DENOTES VIRGINIA REQUIREMENTS, POLICY, OR STANDARDS NOT INCLUDED IN FEDERAL LAW OR REGULATIONS BUT REQUIRED BY VIRGINIA CODE OR REGULATION**

## GENERAL INFORMATION

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### PURPOSE

In accordance with the *Adult Education and Family Literacy Act* (AEFLA), Title II of the *Workforce Innovation and Opportunity Act of 2014*, the purpose of this funding opportunity is to assist eligible applicants in developing instructional programs and partnerships to provide services that focus on the following:

- assist adults to become literate and obtain the knowledge and skills necessary for employment and economic self-sufficiency;
- assist adults who are parents or family members to obtain the education and skills that are necessary to becoming full partners in the educational development of their children and lead to sustainable improvements in the economic opportunities for their family;
- assist adults in attaining a secondary school diploma and in the transition to postsecondary education and training, including through career pathways; and
- assist immigrants and other individuals who are English language learners in improving their reading, writing, speaking, and comprehension skills in English; mathematics skills; and acquiring an understanding of the American system of Government, individual freedom, and the responsibilities of citizenship.

### ADMINISTRATION [S]

The Virginia Department of Education (VDOE), Office of Adult Education and Literacy (OAEL), administers the AEFLA grants. The OAEL provides leadership and oversight to AEFLA programs and services in Virginia.

### GRANT PERIOD [S]

The project period for federal funds awarded under this competition is 12 months, beginning July 1, 2015, and ending June 30, 2016. All expenditures must be encumbered by June 30, 2016. Final reimbursement requests for federal funds must be submitted no later than July 18, 2016.

The project period for state funds awarded under this competition is 11 months, beginning July 1, 2015, and ending May 31, 2016. Final reimbursement requests for state funds must be submitted no later than June 3, 2016.

### DEADLINE FOR RECEIPT OF APPLICATION [S]

The application materials (one original set and four copies) may be mailed or hand delivered to the appropriate address below. Applicants must submit the completed budget workbook via e-mail to [OAEL@doe.virginia.gov](mailto:OAEL@doe.virginia.gov). After submitting the budget workbook electronically, applicants should print the contact information sheet and master form, ensure all required signatures are present, and include the contact information sheet and master form in each set of

application materials. Applications, including the budget workbook, must be received by OAEL no later than 2 p.m., June 5, 2015. Applications must be sent to or delivered to the appropriate address below. Faxed copies will not be accepted. Applications not meeting the delivery deadline will not be considered. The use of a commercial delivery service is recommended; however, OAEL assumes no responsibility for any failure by these services to deliver applications to the appropriate location by the published deadline.

Physical Address

Melissa Dixon, Grants Manager  
Office of Adult Education and Literacy  
James Monroe Building, 21<sup>st</sup> Floor  
101 North 14<sup>th</sup> Street  
Richmond, VA 23219

Mailing Address

Melissa Dixon, Grants Manager  
Office of Adult Education and Literacy  
Virginia Department of Education  
P.O. Box 2120  
Richmond, VA 23218-2120

**APPLICATION COMPONENTS [S]**

Pursuant to Sections V.A.1 and V.A.2 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, eligible applicants must submit by the established deadline a fully completed application in order to be considered for funding. The instructions for completing the application are included in this document. Each component of the application listed below is described in detail in this application packet. A checklist to help ensure a complete application is included in the appendices of this document, and it must be submitted along with the components described below.

- Extension to the Regional Three-year Plan for FY 2015-2016
- Fourth-year Application for Funding
- 2012-2014 AEFLA Performance Table
- Budget workbook, including contact information, electronic worksheets, and master form
- Request for additional administrative funding over 5 percent cap (if applicable)
- Regional Memorandum of Agreement/Understanding
- Federal and state certifications and assurances

Applicants must provide a separate electronic budget worksheet for each locality in the region that receives a federal AEFLA allocation. The master form will tally totals for all of the worksheets. The application must address all localities in the region.

**SUBMISSION GUIDELINES [S]**

Applications should follow the formatting guidelines below.

- Submit application on 8-1/2-inch by 11-inch paper with a one-inch margin on all sides.
- A standard 12-point font, such as Times New Roman or Arial, should be used.
- All pages should include text on one side only – no two-sided printing.
- All text must be double-spaced unless otherwise noted in the instructions.
- Boldface type, underlining, and italics may be used. However, all text should be printed in black ink only.
- Applications should not be submitted in binders or special covers.
- Application materials should be organized and submitted in the following sequence.
  - **Application checklist** - Appendix E
  - **Contact information sheet** - from the budget workbook
  - **Master form** - from the budget workbook
  - **Request for additional administrative funding over 5 percent cap** - page 22
  - **Extension to the Regional Three-year Plan**
  - **Fourth-year Application for Funding**
  - **Regional Memorandum of Understanding**
  - **Signed assurances**

**Incomplete, unsigned, or late applications will not be reviewed. No extensions for submitting applications after the deadline will be granted for any reason.**

#### **APPLICATION REVIEW [S]**

Submissions from eligible applicants will be reviewed for completeness, adherence to grant guidelines, content development, and overall quality. A summary report of the review will be available to eligible applicants. Final funding decisions will be made by OAEL staff based on the review committee's recommendations.

#### **TWELVE FEDERAL CONSIDERATIONS**

Consistent with Section 231 of AEFLA, OAEL review panels shall consider the following when reviewing applications and making funding recommendations.

1. The degree to which the eligible provider will establish measurable goals for participant outcomes
2. The past effectiveness of an eligible provider in improving the literacy skills of adults and families, and, after the 1-year period beginning with the adoption of an eligible agency's performance measures under section 212 [of AEFLA], the success of an eligible provider receiving funding under this subtitle in meeting or exceeding such performance measures, especially with respect to those adults with the lowest levels of literacy

3. The commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low-income or have minimal literacy skills
4. Whether or not the program
  - a. is of sufficient intensity and duration for participants to achieve substantial learning gains
  - b. uses instructional practices, such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read
5. Whether the activities are built on a strong foundation of research and effective educational practice
6. Whether the activities effectively employ advances in technology, as appropriate, including the use of computers
7. Whether the activities provide learning in real life contexts to ensure that an individual has the skills needed to compete in the workplace and to exercise the rights and responsibilities of citizenship
8. Whether the activities are staffed by well-trained instructors, counselors, and administrators
9. Whether the activities coordinate with other available resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies
10. Whether the activities offer flexible schedules and support services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs
11. Whether the activities maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible agency performance measures
12. Whether the local communities have a demonstrated need for additional English literacy programs

### **PROGRAM PRIORITIES [S]**

The OAEL strategic plan identifies five goals that all applicants are expected to address in their funding applications and regional plans. These goals focus on increasing the number of adults served, increasing student achievement, improving program and teacher quality, supporting career pathways, and ensuring accurate data collection and reporting. Additionally, OAEL encourages activities that will contribute to the following priorities.

- Establishment or improvement of relationships with local work force investment boards (WIBs) and one stop work force centers
- Establishment or improvement of partnerships that create greater opportunities for students to transition to postsecondary education and work force training programs
- Innovations in bridging the gap between ELL and ABE programs
- Development and implementation of distance education programs

## **INQUIRIES [S]**

For questions regarding programmatic issues, please contact Rachel Morrissey, specialist for adult federal programs and career pathways, at [rachel.morrissey@doe.virginia.gov](mailto:rachel.morrissey@doe.virginia.gov) or (804) 371-7852. For questions regarding financial issues, please contact Melissa Dixon, grants manager, at [melissa.dixon@doe.virginia.gov](mailto:melissa.dixon@doe.virginia.gov) or (804) 786-7643.

## **COMMUNICATIONS [S]**

Pursuant to Sections VI.A.18-20 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, the lead agency is required to provide appropriate contact information as identified on the contact information sheet. Program staff must attend all required meetings (whether held in face-to-face or electronic formats) as identified by OAEL.

## **ELIGIBLE APPLICANTS FOR FEDERAL ADULT EDUCATION FUNDS**

Eligible applicants for the federal AEFLA funds include: a local education agency; a community based literacy organization of demonstrated effectiveness; a volunteer literacy organization of demonstrated effectiveness; an institution of higher education; a public or private nonprofit agency; a library; a public housing authority; a nonprofit institution that is not described previously and has the ability to provide literacy services to adults and families; and a consortium of the agencies, organizations, institutions, libraries, or authorities described previously.

## **ELIGIBLE APPLICANTS FOR VIRGINIA ADULT EDUCATION FUNDS [S]**

The lead agencies identified in successful applications will receive funds appropriated and allocated by the Virginia General Assembly to support adult education and literacy activities in the Commonwealth. Virginia funds available to successful applicants through this competitive application include Lead Agency Coordinating funds and General Adult Education funds.

The lead agencies identified in successful applications will automatically receive allocations of the Lead Agency Coordinating funds and General Adult Education funds to be used to support the administrative and instructional activities of the regional adult education program.

**During the current continuation cycle, only the eligible providers approved in the 2012-2013 competition may apply for federal and state funds under this application notice.**

**Applications submitted by a partnership or consortia of two or more eligible applicants must submit a current memorandum of understanding (MOU) signed by the appropriate executives of each agency or organization participating in the application.**

## **REGIONAL ADMINISTRATIVE STRUCTURE [S]**

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Beginning with FY 2012-2013, OAEL established a regionalized administrative structure for all adult education and literacy programs funded with federal and state funds allocated for such activities in Virginia. To establish regional lines, OAEL adopted the original 22 regional planning districts established by the Virginia General Assembly in 1968 (see regional map in the appendices, page 33). More information about the planning districts is included in the appendices and relevant excerpts from the *Code of Virginia* which are available at: <http://leg1.state.va.us/000/src.htm>.

Eligible providers and stakeholders in each planning district are encouraged to pursue discussions and conduct planning for how best to use the funds available through this RFP to provide adult education and literacy services to adults in need of such services in each region. All applicants must submit applications for funding and extensions to the three-year plans that outline the provision of services for the entire region, the benefits of these services, and how the quality of the services provided will be evaluated and sustained. Applicants must also submit a detailed budget that links the region's allocated funding to the proposed activities.

Applications must identify the agency that will act as the lead agency for the region. The lead agency shall submit a single proposal on behalf of the region that outlines a plan to provide adult education and literacy activities throughout the region, explaining the roles and responsibilities of each member agency.

The lead agency serves as the applicant agency of record, the legally recognized fiscal agent for the grant project, and the single point of contact for OAEL. The lead agency is responsible for overseeing the implementation of all aspects of the grant, e.g., project and spending plan, grant project monitoring and data reporting, and fiscal management.

Lead Agency Coordinating funds will be awarded to lead agencies to help defray specific costs related to the coordination and administration of activities in the region.

### **ROLE OF LEAD AGENCY**

The lead agency is expected to act on behalf of all of its partners in both a programmatic and a fiscal capacity by providing the management and implementation of the adult education and literacy program throughout the region. The lead agency is also required to provide the fiscal information necessary for reporting purposes.

Other specific lead agency responsibilities will include the following.

- Employ a full-time regional program manager who will oversee the planning and delivery of services across the region (regional program manager position requirements are included in the appendices of this document)
- Employ a regional adult education specialist for a minimum of 25 hours per week who will support instructional, data, and professional development activities for program staff

as needed (regional adult education specialist position requirements are included in the appendices of this document)

- Collect, analyze, and report to OAEL all fiscal and program data from across the region on the schedule and timelines determined by OAEL
- Provide any additional information on the regional program as may be requested
- Provide any additional leadership, training, and management support as necessary and/or requested by program staff and member agencies
- Coordinate any professional development activities for program staff from all member agencies
- In consultation with each member agency, develop a memorandum of understanding or other official agreement that identifies the roles and responsibilities of each participating agency
- Coordinate and assume responsibility for any OAEL-sponsored monitoring and evaluation activities
- Serve as the single point of contact for OAEL

### **ROLE OF MEMBER AGENCY**

Member agencies are expected to support and/or provide regional adult education and literacy activities as appropriate and agreed to in a memorandum of understanding. Member agency staff will adhere to programmatic, data, and fiscal requests as agreed upon with the lead agency in a timely and comprehensive manner.

Other specific member agency responsibilities will include the following.

- Enter into a memorandum of understanding or other official agreement that identifies the roles and responsibilities of each participating agency
- Provide all program data in a comprehensive and timely manner to the lead agency as agreed upon in the partnership agreement
- Provide all fiscal data in a comprehensive and timely manner to the lead agency as outlined in the partnership agreement or as requested by the lead agency
- Participate in planning and management activities as requested by the lead agency for the ultimate benefit of the entire region
- Ensure that appropriate staff participate in any OAEL-sponsored activities and meetings as required by OAEL
- Ensure that any member agency staff tasked with entering adult education and literacy data into the Single Sign-on for Web Systems (SSWS) is appropriately trained
- Ensure that such data are analyzed, reported, and maintained

### **REGIONAL ADULT EDUCATION PLANS [S]**

Consistent with Section 232 of AEFLA, each eligible applicant applying for a grant under this RFP shall submit an application that explains how funds will be used and any relationships and partnerships that are in place to provide adult education and literacy services. To fulfill this requirement, OAEL asks that applicants submit the extension to their approved three-year plans



in addition to a one-year application for funding for FY 2015-2016. Instructions for completing the application and regional plan are included in this RFP.

## ACTIVITIES

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### APPROVED ACTIVITIES

Pursuant to Section VI.B.5 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, services must be comprehensive and accessible to learners, as identified through local needs assessments and evaluations. Grant recipients shall provide instructional activities in the following approved areas.

#### Adult Basic Education and Literacy (ABE)

ABE consists of instructional programs that provide basic skills for adults who are performing below the ninth-grade level in reading, writing, mathematics, and other basic skills. Many of these activities include pre-GED<sup>®</sup> preparatory components or transition from ESOL to ABE instructional programs and integrated education and training as well as work force preparation activities.

#### Adult Secondary Education (ASE) and High School Equivalency (HSE) Preparation

ASE and HSE instruction serves learners performing between the ninth-grade and twelfth-grade-and-nine-months levels. The HSE preparatory programs assess adults' knowledge in core subject areas (e.g., math, language arts, social studies, and science) and prescribe instruction to prepare for success on an HSE assessment. Activities include integrated education and training as well as work force preparation

#### English Language Learner Instruction (ELL)

These services are designed to increase the English reading, writing, speaking, and comprehension skills of adults. Instruction may also include civics-related and work force preparation activities.

### OPTIONAL ACTIVITIES

Pursuant to Section VI.B.5 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients may also provide services in the areas described below. Services must be comprehensive and accessible to learners, as identified through local needs assessments and evaluations.

#### Corrections and Institutions (C & I)

In many localities throughout Virginia, local and regional correctional facilities (jails, diversion facilities, or detention centers) seek literacy services for individuals currently housed. Funding for corrections and institutions may not exceed twenty percent of the total projected AEFLA allocation.

### Family Literacy

Family literacy programs are an opportunity to break the cycle of intergenerational illiteracy. Family literacy includes four major components: (1) adult education; (2) parent time; (3) child education; and (4) parent-and-child time. Providers may provide family literacy activities if all four components are demonstrated. Children participating must be between the ages of birth and 18 years old (still enrolled in school). A parent is identified as an adult who is responsible for the child's well-being and who is consistently an influence in the child's development. The AEFLA funding may be used for components (1), (2), and (4) only. Other local educational or service agencies must provide funding for component (3), child education.

### **UNAPPROVED ACTIVITIES**

Pursuant to Sections VI.A.6 and VI.A.11 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients may not use funds to participate in, support, or encourage unapproved activities. Unless otherwise noted in the manual, unapproved activities include the following.

- Providing continuing education, enrichment, or other vocational or technical classes
- Providing religious instruction, conducting worship services, or engaging in any form of proselytization
- Assisting, promoting, or deterring union organizing
- Financing directly or indirectly, any activity designed to influence the outcome of an election to any public office
- Impairing existing contracts for services or collective bargaining agreements
- Paying directly for learner transportation and child care [S]
- Interstate travel that is not approved by OAEL prior to the travel [S]
- International travel [S]

Under no circumstances may federal or state and local matching funds be expended in support of HSE-testing-related activities including, but not limited to, testing, re-testing, graduation ceremonies, testing vouchers, and scholarships.

Any purchase of food or beverage must receive prior approval from OAEL.

### **STAFF DEVELOPMENT [S]**

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Pursuant to Section VI.A.19, VI.B.9, and VI.B.13 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, eligible applicants must provide ample staff development dollars in their proposed budgets. Participation in staff development opportunities of proven effectiveness is essential to ensure that administrators, teachers, volunteers,

counselors, and support staff are knowledgeable about adult education instruction, policies, procedures, and priorities. The program manager or designee is required to attend all OAEL meetings (whether held in face-to-face or electronic forums), including program manager meetings and conference calls. Staff development dollars must be identified as a line item on the instructional budget worksheet.

## **ACCOUNTABILITY AND REPORTING**

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### **FEDERAL ACCOUNTABILITY**

The AEFLA authorizes funding for states that provide adult education and literacy services in accordance with specific criteria. To measure the impact of AEFLA funding, the federal Office of Career, Technical, and Adult Education (OCTAE) requires each state to submit a performance report each year through the National Reporting System (NRS), which was established to ensure that learner outcomes are reported according to standardized data collection methods and definitions.

The AEFLA established three core indicators of performance that must be addressed in each state's annual report.

- Demonstrated improvements in literacy skill levels in reading, writing, speaking the English language, numeracy, problem-solving, and other literacy skills
- Placement in, retention in, or completion of postsecondary education, training, unsubsidized employment, or career advancement
- Receipt of a secondary-level diploma or its recognized equivalent

Each year, OCTAE negotiates targets for the core indicators with each state. The negotiations are individualized to accommodate the needs, capacities, and resources of each state. The final negotiated targets are provided to the states with their federal award notices and represent performance levels that each state is expected to meet by the end of the program year.

Demonstrated improvement in literacy skill performance is measured by student educational functioning level (EFL) gain. Using the NRS benchmarks, program instructional personnel can determine when learners have made progress within an EFL, completed an EFL, and are ready to move to the next level. The 12 EFLs representing adult education literacy skills are as follows.

- Adult Basic Education (ABE) Beginning Literacy
- Adult Basic Education (ABE) Beginning Basic
- Adult Basic Education (ABE) Intermediate Low
- Adult Basic Education (ABE) Intermediate High
- Adult Secondary Education (ASE) Low
- Adult Secondary Education (ASE) High
- English as a Second Language (ESL) Beginning Literacy
- English as a Second Language (ESL) Low Beginning

- English as a Second Language (ESL) High Beginning
- English as a Second Language (ESL) Low Intermediate
- English as a Second Language (ESL) High Intermediate
- English as a Second Language (ESL) Advanced

The EFL descriptors for adult basic education can be found in the appendices of this document or on the Web site for the National Reporting System at <http://www.nrsonline.org/reference/index.html?chapter=2&section=1&topic=1&subtopic=1>

In addition to EFL gains, programs are also expected to meet federally negotiated targets for outcomes that are based on the other two core indicators of performance and are tracked after learners exit the program. For NRS reporting purposes, these two indicators consist of four separate follow-up outcome measures that programs are expected to meet by the end of the program year. These are detailed below.

- **Earn Secondary Credential:** This measures the number of learners obtaining an HSE credential or a secondary-level diploma (or recognized equivalent) after exiting the program.
- **Enter Postsecondary Education or Training:** This measures the number of learners enrolling in a postsecondary educational or occupational skills program after exiting the program.
- **Enter Employment:** This measures the number of learners obtaining a job after exiting the program.
- **Retain Employment:** This measures the number of learners remaining employed after exiting the program.

Specific reporting requirements will be provided to grant recipients after awards have been distributed.

## **STATE ACCOUNTABILITY [S]**

In addition to the federal performance measures described above, OAEL establishes specific state targets for enrollment, retention, and post-testing for programs receiving funding, as outlined below.

*Enrollment (3% of Census):* This is the minimum target enrollment for all instructional areas (ABE, ASE, and ELL) combined. The target is generated by multiplying the total number of individuals in the locality who are 18 years of age and older and without a high school credential, as reported in the 2005-2009 American Community Survey, by the three percent target.

*Assessment:* According to Policy 2.1 of the *Assessment Policy for Virginia Adult Education and Literacy Programs*, a pre-test must be administered to all students served

by adult education instructional programs within the first six hours of instruction. Post-tests must be administered to a minimum of 70 percent of all eligible learners according to the time frame(s) established by the test publisher and specified in the policy.

*Retention:* Assisting learners with advancing their educational levels must be a priority of eligible programs. However, reported individuals may separate from a program without advancing an educational level because they are not able to continue or they exit after completing one or more follow-up goals. To meet the priority of educational advancement of learners while accommodating learner separation, OAEL sets the goal of eligible programs retaining 80 percent of reported learners. Programs can compute their retention rate by dividing the number of learners completing an educational functioning level and the number continuing in the program by the total number of reportable learners.

Additional reports may be required throughout the grant cycle based on funding and program priorities.

#### **PROGRAM ACTIVITIES [S]**

Grant recipients must conduct program activities in accordance with current and future approved policies and the state and federal regulations outlined in the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*. Current policies and the manual may be found on the OAEL Web site.

#### **TECHNOLOGY [S]**

Pursuant to Section VI.B.10 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients must provide access to current and comprehensive computers and technology for program implementation and administration. For specific information about system requirements, eligible applicants should contact OAEL.

#### **WEB-BASED DATA SYSTEM [S]**

Pursuant to Section VI.A.8 and VI.A.10 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients must use VDOE's Web-based data system. Required NRS data must be entered no later than the 20<sup>th</sup> day of each month beginning August 2015. All fiscal year NRS data for 2015-2016 must be completed by a deadline established by OAEL. This deadline will occur in August 2016.

#### Universal Student Profile Document (USPD)

Pursuant to Section VI.B.6 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, all grant recipients must use the USPD, pages one and two, to collect and report required student demographic and goal information annually. The form may not be changed or otherwise altered. If a grant recipient chooses to collect

additional information, other than what is required on the USPD, a separate page or form must be developed locally.

### **RETENTION OF RECORDS [S]**

Pursuant to Section VI.A.17 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients must maintain all records related to the grant, including student and financial records, for a period of five years after the ending date of the grant. These records must be accessible and available for monitoring and auditing purposes.

### **FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT**

The Federal Funding Accountability and Transparency Act (FFATA) went into effect in September 2006. The intent of the FFATA is to reduce wasteful spending in the government through accountability measures. The FFATA legislation requires information on federal awards be made public via a single, searchable Web site, which is [www.USASpending.gov](http://www.USASpending.gov).

The FFATA Sub-award Reporting System (FSRS) will collect data from federal prime awardees on sub-awards they make. The OAEL is required to report on its sub-grants.

Information about reporting for FFATA will be included with the grant award.

## **FUNDING, BUDGETS, AND FINANCIAL MANAGEMENT**

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### **FUNDING FORMULA [S]**

The annual projected allocations of the federal AEFLA and state General Adult Education (GAE) funds for Virginia localities are based on a formula as identified in the *Virginia State Plan for Adult Education and Family Literacy*. The formula identifies a target population based on the 2005-2009 American Community Survey. The target population represents any adult, 18 years of age or older, without a high school credential, who is not incarcerated in a state or federal prison. In Virginia, that number is 820,641. Each locality has a percentage of that total to which services must be provided. The local percentage is determined by the local total of adults without a high school credential divided by the state total. The local percentage is then multiplied by the total projected allocation, which results in the projected allocation for locality. Minor adjustments have been made to ensure that no locality receives an allocation of less than \$9,000.

For example, if city X has 20,000 adults without a credential and the total projected state allocation is \$9,000,000, the following calculation is performed to determine city X's allocation.

Step 1	$20,000/820,641 = 0.0244$ or 2.44%
Step 2	$9,000,000 \times .0244 = \$219,600$
Step 3	Projected Local Allocation = \$219,600

## **INSTRUCTIONAL COSTS [S]**

Pursuant to Section VI.B.12 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients shall use not less than 95 percent of the projected federal allocation for adult education and literacy instructional activities and 100 percent of the GAE allocation for instructional activities. Additional budgeting requirements related to the instructional plan are outlined below.

### Instructional Salaries [S]

The eligible applicant must budget a minimum of 50 percent of the total instructional costs for salaries related to direct instruction, distance education instruction, or both. Staff development expenses are not included in the minimum requirement for instructional salaries.

### Corrections and Institutions (C & I)

If an eligible applicant plans to serve adults in C & I settings, a maximum of 20 percent of the total projected allocation may be used for those services (includes administration and instruction).

## **ADMINISTRATIVE COSTS**

Pursuant to Section 233(a) of AEFLA and Section VI.B.12 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, eligible applicants may budget administrative expenses for AEFLA-funded programs. The total administrative request may not exceed five percent of the projected allocation. In some cases, however, when it is appropriate and reasonable, an eligible applicant may negotiate with OAEL to allow administrative expenses in excess of the five percent limitation. If applicants wish to request more than five percent, they should include a written request and justification for the higher rate with their application materials. Each request will be considered individually, and there is no guarantee of approval for higher rates.

## **BUDGETS [S]**

Eligible applicants are responsible for developing budgets that accurately reflect the planned activities for the grant period. Only expenditures that support approved AEFLA activities may be budgeted. For more information about food and beverages, please see the *Guidance Manual*. All approved applicants will receive an official award notification, which will include the approved funding amount. The budget workbook can be found on the OAEL Web site at [http://www.doe.virginia.gov/instruction/adulted/grants\\_funding/index.shtml](http://www.doe.virginia.gov/instruction/adulted/grants_funding/index.shtml).

### Master Form

The eligible applicant must submit a master form that identifies the total expenditures related to administration, instruction, and local match for the entire region. The master form is part of the budget workbook, and it will automatically tally totals from the budget worksheets. The eligible applicant may not combine funds from one locality or program with those of another for developing budgets.

The eligible applicant must separate and identify the total expenditures budgeted to support AEFLA programs and C & I programs (administration and instruction) in each locality. The total expenditures may not exceed the targeted amounts based on the funding percentage breakdown.

### Budget Worksheets

The eligible applicant must electronically submit detailed budget worksheets for each locality in the region. An eligible applicant must identify, within each object code, the expenditures by line item. Like expenditures should be grouped together on the worksheet and explained in detail in the budget narrative. For example, a total cost for textbooks may be listed on the worksheet, but itemized by the type, quantity, and cost per item in the budget narrative.

### Budget Narrative

The eligible applicant must submit a budget narrative that provides a clear, but concise, explanation of expenditures for each category code, how expenditures support program objectives, and any expenditures that are listed in “other” categories or do not appear to be commensurate with outcomes.

### Online Management of Education Grant Awards (OMEGA)

When the budget has been approved by OAEL, the responsible fiscal agent must submit a budget transfer in OMEGA to establish the budget for reimbursement. Programs must ensure that the appropriate local staff members, including the program manager or director, have current permissions for access, development, and approval in OMEGA for this purpose.

### Object Codes and Descriptions [S]

Budgets must be developed using standard state object codes. For a full description and examples for each object code, see the Budget Workbook Instructions.



## **EXPENDITURES**

All expenditures must fall under the object codes identified in the budget. Expenses must pertain to a specific object code in order to be considered for reimbursement. Pursuant to Section V.E.1 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, all expenditures must be allowable. Any program expenditure deemed not allowable may not be claimed for reimbursement and will be at the expense of the grant recipient. The grant recipient should contact OAEL about any questionable expenditures.

It is the responsibility of the recipient to maintain adequate liability coverage for the recipient, the employees, and the participants for both on-site and off-site activities.

### Applicable Guidelines

Applicable federal and state administrative requirements, cost principles, and audit requirements are incorporated into each grant award by reference. For educational institutions, the following apply.

- Uniform Administrative Requirements for Grants and Agreements to State and Local Governments, 45 FR, Part 2541(59 Fed. Reg. 155 published August 12, 1994)
- Omni Circular 2CFR200 Subpart E Cost Principles for State and Local Governments
- Omni Circular 2CFR200 Subpart F, Audits of State and Local Governments and Non-Profit Organizations

### Unallowable Expenditures

As described previously, funds may not be used to support any unapproved activities. Additionally, stipends, allowances, post-service benefits, or other financial support may not be paid to any staff, except as reimbursement for transportation, meals, and other reasonable out-of-pocket expenses directly related to program participation.

## **MATCHING REQUIREMENTS [S]**

Applicants must provide a 15 percent match against the federal funds. No matching funds are required for the GAE or Lead Agency Coordinating funds. The match may be made as either (1) in-kind contributions, (2) cash, or (3) a combination of the two. The match may exceed 15 percent but may not be less than 15 percent.

The matching requirement may not be met by using other federal funds the applicant may receive. Likewise, local funds reported as match against the federal AEFLA funds may not be used to match another federal grant. Additionally, the GAE and Lead Agency Coordinating funds are used by VDOE to fulfill the overall state maintenance of effort requirements, so applicants may not report those funds to fulfill the match requirement.

### *Matching Formula*

The example below illustrates how the local match is determined.

If the projected allocation for city X is \$215,100, the following calculations are performed to determine city X's projected local match.

Step 1	Divide the allocation $\$215,100 / .85 = \$253,059$
Step 2	Subtract the allocation $\$253,059 - 215,100 = \$37,959$
Step 3	Projected Local Match = \$37,959

#### *Maintenance of Effort (MOE)*

A factor that affects the local match required is the federal maintenance of effort requirement. Each eligible applicant will be required in subsequent years to provide matching funds that meet or exceed the previous year's match total. Applicants may shift the percentage of each type of match (cash or in-kind) from year to year, but they may not reduce the total amount of match reported.

#### *Allowable Matching Funds*

Matching funds may be cash or in-kind contributions (non-federal funds) by the eligible applicant. The amount of matching funds required is determined by the regional expenditures during the fiscal year. Match may come from a single source or from multiple sources within the region. Program match does not have to be identified within each object code or line item of the requested federal funds. Match may occur in one object code, such as personal services, or across the various object codes. Match may be claimed in a single quarter or multiple quarters during the grant period.

#### Special Considerations

- All expenditures identified as local match must be for the direct support of program activities.
- When applicable, documentation must be maintained and is required to identify the percent of support converted to a dollar amount. Common instances of this requirement include salaries and utilities.
- Rent may be used as match and is based on the fair market rental rate in the program area. This applies when state, local school, community college, or other agency property is used as space to support program activities. Documentation of an appraisal of fair market rental rate for the area is required. The percentage of use-time must be converted to a dollar amount.
- Volunteer hours may be reported as match. To report such hours as match, the cash value of volunteer services per hour must be substantiated and that value reported as in-kind.

#### Indirect Costs

Pursuant to Section VI.B.14 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, eligible applicants may budget for indirect cost. If

indirect cost is claimed, it must be identified by line item as an administrative expense under the 5000-Other Charges expenditure category. The amount claimed is based on the lead agency's approved indirect cost percentage. Applicants that identify indirect cost may not claim overhead costs (e.g., rent, utilities, common area maintenance) against the AEFLA funding.

## **PROGRAM INCOME**

Grant recipients may collect tuition monies and/or fees. Tuition monies or fees collected must be reasonable and necessary and must not deter access to services. Such fees are regarded as program income and must be tracked and expended carefully. In addition to fees charged for services, any full-time equivalent (FTE) funds collected by institutions of higher education based on federally funded adult education and literacy enrollments are considered program income, and those funds must be tracked and expended in the same manner as tuition or fees.

Pursuant to Sections V.F.3 and V.F.4 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, program income must be used and reported by the grant recipient in a specific manner. Program income represents the "gross income received by the grant recipient or sub-recipient directly generated by a grant supported activity or earned as a result of the grant agreement during the grant period."

Grant recipients must report program income collected and expended quarterly based on the income generated during the grant period. All income collected must be expended directly for the purposes of the AEFLA program. This includes support of classes, coordination, supervision, and general administration of full- and part-time adult education programs, including responsibilities associated with the finances of these programs. Expenditures must be tracked and reported within the same expenditure object codes identified previously.

Program income may not be used to meet match obligations and may not be incorporated into a lead agency's general funds unless it is directly available to support AEFLA services and is maintained as a separate line item. The form to report program income is located on the OAEL Web site at [http://www.doe.virginia.gov/instruction/adulted/grants\\_funding/index.shtml](http://www.doe.virginia.gov/instruction/adulted/grants_funding/index.shtml).

## **ONE-STOP ACTIVITIES AND SERVICES**

Pursuant to Section VI.B.17 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, as a recipient of funds for AEFLA services, grant recipients are mandated partners within the Virginia work force development system and its one-stop work force centers. As such, recipients are responsible for developing and implementing collaborative relationships with local one-stop work force centers. All grant recipients that develop collaborative relationships that provide services to (via referrals) or within one-stop work force centers must report annually, by object code and line item, the amount of federal funding contributed for these services and activities. The form to report one-stop funding is located on the OAEL Web site at [http://www.doe.virginia.gov/instruction/adulted/grants\\_funding/index.shtml](http://www.doe.virginia.gov/instruction/adulted/grants_funding/index.shtml).

## **REQUESTS FOR REIMBURSEMENT AND TRANSFERS [S]**

Pursuant to Section V.F.1 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, VDOE funds grant recipients on a cost-reimbursement basis only. All reimbursements and budget amendments must be submitted appropriately according to the procedures outlined by OAEL. Grant recipients will be able to submit monthly reimbursement requests using the OMEGA system.

## **CERTIFICATIONS AND COMPLIANCE [S]**

Pursuant to Section VI.A.7 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, eligible applicants must certify, through official signature of the lead agency's executive officer, compliance with specific state and federal laws and/or regulations annually. Signatures indicate that the applicant agrees, if selected as a grant recipient, to fully comply with each assurance. It is the responsibility of the applicant and grant recipient to be knowledgeable about applicable laws and regulations. The state and federal assurance forms are located on the OAEL Web site at [http://www.doe.virginia.gov/instruction/adulted/grants\\_funding/index.shtml](http://www.doe.virginia.gov/instruction/adulted/grants_funding/index.shtml).

## **TERMINATION OR SUSPENSION [S]**

Pursuant to Sections V.I.1, V.J.1, V.K.1, and V.L.2 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, all funding is subject to the availability and appropriation of funds for the purpose of AEFLA programs. In emergency situations, VDOE may suspend a grant for not more than 30 calendar days. Examples of such situations may include, but are not limited to: serious risk to persons or property; violations of federal, state, or local criminal statutes; and material violations of the grant that are sufficiently serious that they outweigh the general policy in favor of advance notice and opportunity to show cause. Pursuant to 45 CFR 2540.400, VDOE may terminate reimbursement payments under the grant, or revoke grant funds for failure to comply with applicable provisions of this grant. The VDOE shall provide the grant recipient reasonable notice and opportunity for a full and fair hearing within 60 days of receipt of such notice.

# **MONITORING AND EVALUATION**

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## **PROGRAM PERFORMANCE REPORT CARDS [S]**

Pursuant to Section VI.A.23 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients are responsible for participating in any monitoring and evaluation activities conducted by OAEL. In accordance with the *Virginia State Plan for Adult Education and Literacy*, OAEL must conduct annual performance evaluations of grant recipients. Evaluation activities will include periodic reviews of program performance. These reviews address program performance in the following three areas: (1) financial management; (2) meeting state and federal performance targets; and (3) compliance with OAEL policies. An

end-of-year performance report, called the “Program Performance Report Card,” is also issued. The report card summarizes the overall performance of the adult education program during the program year.

#### **DESK REVIEWS [S]**

Desk reviews will be conducted throughout the grant period to identify whether grant recipients are performing in accordance with state and federal policies and regulations, as well as program expectations. OAEL will monitor regional program performance in terms of meeting federal and state targets, sound management of grant resources, and compliance with OAEL policies. If questions or concerns arise from a desk review, OAEL staff will contact the reviewed program for further action.

#### **SITE VISITS [S]**

Pursuant to Section VI.A.24 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, OAEL reserves the right, at all reasonable times, to conduct site visits to review and evaluate grant recipient records, accomplishments, organizational procedures, and financial control systems; to conduct interviews; and to provide technical assistance.

## APPLICATION REQUIREMENTS

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## **THREE COMPONENTS OF THE CONTINUING APPLICATION [S]**

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Complete applications for AEFLA funding for FY 2015-2016 consist of three components.

- Extension to the Regional Three-year Plan
- The Fourth-year Application for Funding
- 2012-2014 AEFLA Performance Table

Together, these components will allow applicants to demonstrate their progress toward the achievement of their goals and objectives, to review the effectiveness of program operations, to make necessary modifications to their program design, and to apply for continuing funding for FY 2015-2016. The forms for the three required components of the continuing application can be found on OAEL's Web site at

[http://www.doe.virginia.gov/instruction/adulted/grants\\_funding/index.shtml](http://www.doe.virginia.gov/instruction/adulted/grants_funding/index.shtml).

### Extension to the Regional Three-year Plan.

OAEL has developed a strategic plan that will guide adult education and literacy activities in Virginia through FY 2016-2017. The plan supports the office's mission by focusing on improvements in instruction, enrollment, and learner outcomes, and the plan includes goals and objectives that address program management and instructional standards; recruitment, retention, and reporting; career pathways; professional development; and monitoring and evaluation. In FY 2012-2013, applicants developed a three-year plan that was aligned with these goals and objectives, identifying the need for adult education services in their regions and designing a plan to strengthen program performance and to maximize learner outcomes. Each year, under the continuation grant, applicants reported on their progress toward the achievement of their approved goals and objectives and, when necessary, reported any modifications to their Three-year Plan to reflect revised goals or changes in program delivery. For this extension year plan, applicants should respond to the prompts in light of the Three-year plan.

### Fourth-year Application for Funding.

The narrative should describe a plan that explains in a concise manner how the applicant will address the need for services and the completion of fourth-year goals outlined in the extension plan. The narrative consists of four sections: goals and objectives, program design, capacity and commitment, and budget and budget narrative.

### First-year Performance Review.

Applicants are required to complete a program performance review based on their FY 2012 – 2014 NRS data. The purposes of the review is to promote thoughtful reflection on data for use in regional program planning, to quantify programs' progress toward the attainment of regional goals and the goals of the OAEL strategic plan, and to identify areas of improvement for FY 2015-2016.

## APPENDICES

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## **APPENDIX A: REGIONAL PLANNING DISTRICT MEMBERSHIP**

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The Virginia General Assembly created the statutory framework of the Planning District Commissions (PDCs) in 1968 through the Virginia Area Redevelopment Act (VADA), which was modified in 1995 through adoption of the Regional Cooperation Act (*Code of Virginia*, Chapter 42, Title 15.2).

The purpose of Planning District Commissions, as set out in the *Code of Virginia*, Section 15.2-4207, is

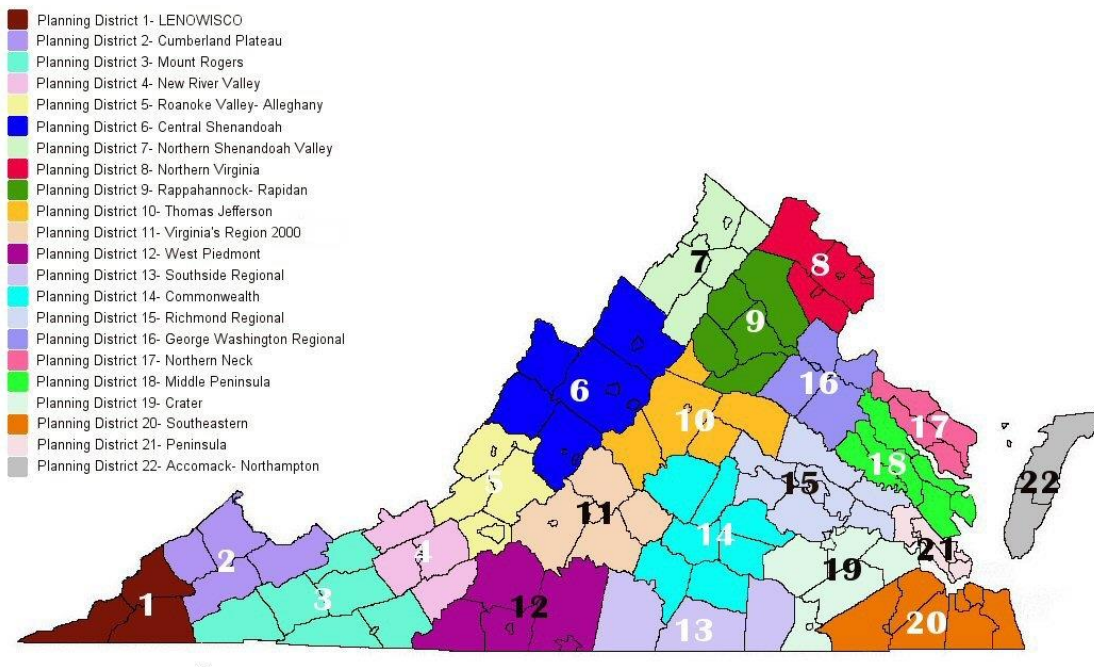
...to encourage and facilitate local government cooperation and state-local cooperation in addressing on a regional basis problems of greater than local significance. The cooperation resulting from this chapter is intended to facilitate the recognition and analysis of regional opportunities and take account of regional influences in planning and implementing public policies and services.

The planning district commission shall also promote the orderly and efficient development of the physical, social and economic elements of the district by planning, and encouraging and assisting localities to plan, for the future.

The PDCs are voluntary associations of local governments that are designed to foster intergovernmental cooperation by bringing together local elected and appointed officials and involved citizens to discuss common needs and solutions to regional issues.

The Virginia Department of Planning and Community Affairs, currently the Department of Housing and Community Development, established 22 PDCs based on the “community of interest among its counties, cities, and towns.”

## VIRGINIA PLANNING DISTRICT COMMISSIONS: OUTLINE AND MEMBERSHIP



### Planning District 1 - LENO-WISCO

The counties of Lee, Scott, and Wise; the city of Norton.

### Planning District 2 - Cumberland Plateau

The counties of Buchanan, Dickenson, Russell, and Tazewell.

### Planning District 3 - Mount Rogers

The counties of Bland, Carroll, Grayson, Smyth, Washington, and Wythe; the cities of Bristol and Galax.

### Planning District 4 - New River Valley

The counties of Floyd, Giles, Montgomery, and Pulaski; the city of Radford.

### Planning District 5 - Roanoke Valley-Alleghany

The counties of Alleghany, Botetourt, Craig, and Roanoke; the cities of Covington, Roanoke, and Salem.

### Planning District 6 - Central Shenandoah

The counties of Augusta, Bath, Rockbridge, Rockingham, and Highland; the cities of Buena Vista, Harrisonburg, Lexington, Staunton, and Waynesboro.

### Planning District 7 - Northern Shenandoah Valley

The counties of Clarke, Frederick, Page, Shenandoah, and Warren; the city of Winchester.

### Planning District 8 - Northern Virginia

The counties of Arlington, Fairfax, Loudoun, and Prince William; the cities of Alexandria, Fairfax, Falls Church, Manassas, and Manassas Park.

Planning District 9 - Rappahannock-Rapidan

The counties of Culpeper, Fauquier, Madison, Orange, and Rappahannock

Planning District 10 - Thomas Jefferson Regional

The counties of Albemarle, Fluvanna, Greene, Louisa, and Nelson; the city of Charlottesville.

Planning District 11 - Virginia's Region 2000

The counties of Amherst, Appomattox, Bedford, and Campbell; the cities of Bedford and Lynchburg.

Planning District 12 - West Piedmont

The counties of Franklin, Henry, Patrick, and Pittsylvania; the cities of Danville and Martinsville.

Planning District 13 – Southside Regional

The counties of Brunswick, Halifax, and Mecklenburg.

Planning District 14 – Commonwealth

The counties of Amelia, Buckingham, Charlotte, Cumberland, Lunenburg, Nottoway, and Prince Edward.

Planning District 15 - Richmond Regional

The counties of Charles City, Chesterfield, Goochland, Hanover, Henrico, New Kent, and Powhatan; the city of Richmond.

Planning District 16 - George Washington Regional

The counties of Caroline, King George, Spotsylvania, and Stafford; the city of Fredericksburg.

Planning District 17 - Northern Neck

The counties of Lancaster, Northumberland, Richmond, and Westmoreland; the town of Colonial Beach.

Planning District 18 - Middle Peninsula

The counties of Essex, Gloucester, King and Queen, King William, Mathews, and Middlesex; the town of West Point.

Planning District 19 – Crater Regional

The counties of Dinwiddie, Greensville, Prince George, Surry, and Sussex; the cities of Colonial Heights, Emporia, Hopewell, and Petersburg.

Planning District 20 – Southeastern Regional

The counties of Isle of Wight and Southampton; the cities of Chesapeake, Franklin, Norfolk, Portsmouth, Suffolk, and Virginia Beach.

Planning District 21 - Peninsula

The counties of James City and York; the cities of Hampton, Newport News, Poquoson, and Williamsburg.

Planning District 22 - Accomack-Northampton

The counties of Accomack and Northampton.

## **APPENDIX B: REGIONAL ADULT EDUCATION PROGRAM MANAGER REQUIREMENTS**

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1. Only one individual shall be officially designated as the regional program manager. This shall be a full-time position.
2. The manager shall possess the knowledge, skills, and credentials consistent with the responsibilities and duties required to effectively administer and manage federal and state educational funds and programs.
3. The manager shall attend all required meetings or staff development events conducted by OAEL or the Virginia Adult Learning Resource Center.
4. The manager shall apply for state and federal funds for adult education programs administered by OAEL on behalf of the localities in the region and shall manage the budget for the region and separately track expenditures for each funded grant.
5. Funds for this position shall not be used for out-of-state travel without prior written permission from OAEL.
6. Student data shall be entered into the Web-based adult education data management system by the 20<sup>th</sup> of each month beginning August 2015. The manager will provide NRS reports, GAE Diploma Program Reports, and other special data reports as required by OAEL.
7. The fiscal agent shall submit required forms related to budgets and expenditures.
8. The manager shall be an employee of the lead agency and is subject to local personnel policies and procedures, including annual evaluations.
9. This agreement shall be limited to a period of one year. After 2015-2016, OAEL may reissue the grant through an application process, terminate the grant, modify the region, or change the budget based on statewide needs and program performance.

The Regional Program Manager shall provide leadership to the adult education programs in the region by coordinating services to adult learners, providing staff development for teachers and tutors, and working with Workforce Investment Boards (WIBs) to accomplish the goals of the *Workforce Innovation and Opportunity Act of 2014* (WIOA). Specific responsibilities are described below.

1. The manager shall be responsible for the management of adult basic education, adult secondary education, and English literacy programs within the region, including budgets, in a manner consistent with the requirements of the *Adult Education and Family Literacy Act*, Title II of WIOA and the procedures outlined in the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*. The agencies that have entered into the regional MOU have agreed to function as a unified adult education program.
2. The manager shall create and/or maintain an advisory board comprised of a representative from each member agency participating in the regional program, appointed by the chief executive officer of each member agency.

3. Working with the advisory board, the manager shall be responsible for planning, organizing, developing, implementing, and evaluating adult education services in the region. Those responsibilities shall include: outreach and recruitment of adult learners; collection and reporting of student data in a manner consistent with NRS and OAEL requirements; ensuring delivery of high quality adult education instruction by well-trained and qualified teachers; and collaboration with agencies, one stop career centers, community colleges, community based literacy organizations, and employers.
4. The manager shall provide leadership and program development consistent with OAEL priorities, including, but not limited to, the following.
  - Integration of program management and instructional standards into curricula and classroom instruction
  - Work force development activities
  - Transition of adult learners to postsecondary education or employment
  - Leadership for implementation of WIOA
  - Continuous program improvement, including efforts to meet or exceed state and federal performance targets
  - Use of data for program improvement
  - Use of technology as a management and instructional tool
5. The manager shall develop or update the multi-year plan and annual application continuations for funding required by federal legislation.
6. The manager shall work closely with local WIBs to expand adult education services. A memorandum of understanding, consistent with state guidelines, shall be developed between the regional adult education program and the WIB.
7. The manager shall be responsible for the program staff's participation in the Virginia Adult Education Certification Program, which is administered by the Virginia Adult Learning Resource Center.
8. The manager shall be responsible for complying with monitoring and evaluation activities conducted by OAEL staff, including, but not limited to, on-site visits and completion of corrective action.

## **APPENDIX C: REGIONAL ADULT EDUCATION SPECIALIST REQUIREMENTS**

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The Regional Adult Education Specialist shall have a primary responsibility of assisting with the state's adult education initiatives. The Regional Adult Education Specialist is responsible for the following tasks.

1. Work with the local partners, one-stop work force centers, area community colleges, and local employers to promote adult education and literacy initiatives and transitions to postsecondary education and employment
2. Increase opportunities for instruction
3. Develop and implement outreach strategies
4. Provide program assistance to local programs
5. If serving in a diploma producing program, ensure routine coordination between program and applicable school division concerning licensure, curriculum, and school division credit requirements
6. Assist OAEL with program monitoring and evaluation which may include participating in site visits and providing programs with site-visit technical assistance
7. Assist OAEL, when necessary, in working with local programs outside the assigned region
8. Other activities required to meet the goals of OAEL

If the applicant expects the regional specialist to conduct any HSE testing-related activities in the course of conducting program business, the applicant will be required to report time and effort expended on HSE testing-related and non-HSE testing-related activities. Information on this reporting process will be included with the grant awards.

Additionally, programs must adhere to the special provisions for food, recognition ceremonies, and English-only instruction included in the manual.

### **REQUIREMENTS**

1. Only one individual shall be officially designated as the Regional Adult Education Specialist. This shall be a part-time position employed a minimum of 25 hours per week unless otherwise approved by OAEL.
2. The specialist may not be employed in another position that would prevent the full implementation of the duties of this position. The specialist must be available for activities associated with this position that are conducted during the day, in the evening, and on weekends.
3. The specialist shall attend mandatory meetings or staff development events conducted by OAEL or the Virginia Adult Learning Resource Center.
4. The Regional Adult Education Specialist shall demonstrate the following

- Knowledge of the Virginia Department of Education's adult education and literacy program
- Knowledge of and ability to implement recruitment strategies for adult learners
- If a diploma producing program is offered, knowledge of high school level instructional strategies and curriculum and state and county school diploma credit requirements
- Knowledge of the state's approved assessment and goal-setting policies, as well as the procedures outlined in the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*
- Understanding of appropriate strategies for assessment related to instruction
- Ability to use testing data to counsel test takers and make testing recommendations
- Ability to use testing data to inform instructional program design
- Knowledge of the appropriate uses for the GED® Official Practice Tests
- Ability to disaggregate National Reporting System and GED® Testing Center data for program improvement and individual counseling
- Certification to administer and provide training for assessments approved for use in the NRS-based data system
- Knowledge of how to counsel speakers of other languages for testing in English or other languages
- Regular communication with program managers and HSE examiners throughout the region
- Communication with the local Workforce Investment Board and employers in the region

## APPENDIX D: 2015-2016 ENROLLMENT TARGETS AND ESTIMATED FUNDING ALLOCATIONS\*

Planning District	Locality	Number 18+ without HS diploma or equivalency	Enrollment Target	ABE/ C&I	GAE	State Lead Coordinating Agency Grant	Total Estimated Allocation
1	Lee County	4723	142	\$51,406	\$6,053		\$57,459
1	Norton City	568	17	\$9,000	\$728		\$9,728
1	Scott County	4953	149	\$53,909	\$6,348		\$60,257
1	Wise County	8276	248	\$90,077	\$10,607		\$100,684
1 Total		18520	556	\$204,392	\$23,736	\$87,298	\$315,426
2	Buchanan County	5979	179	\$65,076	\$7,663		\$72,739
2	Dickenson County	3765	113	\$40,979	\$4,826		\$45,805
2	Russell County	6344	190	\$69,049	\$8,131		\$77,180
2	Tazewell County	8538	256	\$92,929	\$10,943		\$103,872
2 Total		24626	738	\$268,033	\$31,563	\$99,595	\$399,191
3	Bland County	723	22	\$9,000	\$927		\$9,927
3	Bristol City	2935	88	\$31,945	\$3,762		\$35,707
3	Carroll County	6600	198	\$71,835	\$8,459		\$80,294
3	Galax City	1792	54	\$19,504	\$2,297		\$21,801
3	Grayson County	3512	105	\$38,225	\$4,501		\$42,726
3	Smyth County	5762	173	\$62,714	\$7,385		\$70,099
3	Washington County	7953	239	\$86,561	\$10,193		\$96,754
3	Wythe County	4990	150	\$54,312	\$6,396		\$60,708
3 Total		34267	1029	\$374,096	\$43,920	\$119,012	\$537,028
4	Floyd County	2526	76	\$27,493	\$3,238		\$30,731
4	Giles County	2391	72	\$26,024	\$3,065		\$29,089
4	Montgomery County	5945	178	\$64,706	\$7,620		\$72,326
4	Pulaski County	5756	173	\$62,649	\$7,377		\$70,026
4	Radford City	891	27	\$9,698	\$1,142		\$10,840
4 Total		17509	526	\$190,570	\$22,442	\$85,262	\$298,274
5	Alleghany County + Clifton Forge	2547	76	\$27,722	\$3,264		\$30,986
5	Botetourt County	3509	105	\$38,192	\$4,497		\$42,689
5	Covington City	977	29	\$10,634	\$1,252		\$11,886
5	Craig County	800	24	\$9,000	\$1,025		\$10,025
5	Roanoke City	14338	430	\$156,056	\$18,377		\$174,433
5	Roanoke County	7452	224	\$81,108	\$9,551		\$90,659
5	Salem City	2610	78	\$28,408	\$3,345		\$31,753
5 Total		32233	966	\$351,120	\$41,311	\$114,915	\$507,346
6	Augusta County	9458	284	\$102,942	\$12,122		\$115,064
6	Bath County	870	26	\$9,469	\$1,115		\$10,584
6	Buena Vista City	1391	42	\$15,140	\$1,783		\$16,923
6	Harrisonburg City	4985	150	\$54,257	\$6,389		\$60,646



6	Highland County	367	11	\$9,000	\$470		\$9,470
6	Rockbridge County + Lexington City	3840	115	\$41,795	\$4,922		\$46,717
6	Rockingham County	12106	363	\$131,763	\$15,516		\$147,279
6	Staunton City	2975	89	\$32,380	\$3,813		\$36,193
6	Waynesboro City	3425	103	\$37,278	\$4,390		\$41,668
6 Total		39417	1183	\$434,024	\$50,520	\$125,000	\$609,544
7	Clarke County	1581	47	\$17,208	\$2,026		\$19,234
7	Frederick County	8806	264	\$95,845	\$11,286		\$107,131
7	Page County	4950	149	\$53,876	\$6,344		\$60,220
7	Shenandoah County	5264	158	\$57,294	\$6,747		\$64,041
7	Warren County	4736	142	\$51,547	\$6,070		\$57,617
7	Winchester City	4390	132	\$47,781	\$5,627		\$53,408
7 Total		29727	892	\$323,551	\$38,100	\$109,868	\$471,519
8	Alexandria City	11686	351	\$127,192	\$14,978		\$142,170
8	Arlington County	15832	475	\$172,317	\$20,292		\$192,609
8	Fairfax County	66788	2003	\$713,026	\$85,601		\$798,627
8	Falls Church City	468	14	\$9,000	\$600		\$9,600
8	Loudoun County	12533	376	\$136,411	\$16,063		\$152,474
8	Manassas City	5051	152	\$54,976	\$6,474		\$61,450
8	Manassas Park City	1865	56	\$20,299	\$2,390		\$22,689
8	Prince William County	30615	918	\$333,217	\$39,239		\$372,456
8 Total		144838	4345	\$1,566,438	\$185,637	\$125,000	\$1,877,075
9	Culpeper County	5536	166	\$60,254	\$7,095		\$67,349
9	Fauquier County	5600	168	\$60,951	\$7,177		\$68,128
9	Madison County	2295	69	\$24,979	\$2,941		\$27,920
9	Orange County	4448	133	\$48,413	\$5,701		\$54,114
9	Rappahannock County	1141	34	\$12,419	\$1,462		\$13,881
9 Total		19020	570	\$207,016	\$24,376	\$88,305	\$319,697
10	Albemarle County	6571	197	\$71,519	\$8,422		\$79,941
10	Charlottesville City	4149	124	\$45,158	\$5,318		\$50,476
10	Fluvanna County	1929	58	\$20,995	\$2,472		\$23,467
10	Greene County	2455	74	\$26,720	\$3,147		\$29,867
10	Louisa County	4951	149	\$53,887	\$6,346		\$60,233
10	Nelson County	2872	86	\$31,259	\$3,681		\$34,940
10 Total		22927	688	\$249,538	\$29,386	\$96,174	\$375,098
11	Amherst County	5301	159	\$57,697	\$6,794		\$64,491
11	Appomattox County	2255	68	\$24,544	\$2,890		\$27,434
11	Bedford County	8478	254	\$92,275	\$10,866		\$103,141
11	Campbell County	7233	217	\$78,725	\$9,270		\$87,995
11	Lynchburg City	8388	252	\$91,296	\$10,751		\$102,047
11 Total		31655	950	\$344,537	\$40,571	\$113,751	\$498,859
12	Danville City	8863	266	\$96,466	\$11,360		\$107,826
12	Franklin County	8076	242	\$87,900	\$10,351		\$98,251

12	Henry County	12812	384	\$139,447	\$16,421		\$155,868
12	Martinsville City	2931	88	\$31,901	\$3,757		\$35,658
12	Patrick County	3735	112	\$40,652	\$4,787		\$45,439
12	Pittsylvania County	10774	323	\$117,265	\$13,809		\$131,074
12 Total		47191	1415	\$513,631	\$60,485	\$125,000	\$699,116
13	Brunswick County	3898	117	\$42,426	\$4,996		\$47,422
13	Halifax County	7553	227	\$82,208	\$9,681		\$91,889
13	Mecklenburg County	5881	176	\$64,009	\$7,538		\$71,547
13 Total		17332	520	\$188,643	\$22,215	\$84,906	\$295,764
14	Amelia County	2447	73	\$26,633	\$3,136		\$29,769
14	Buckingham County	4668	140	\$50,807	\$5,983		\$56,790
14	Charlotte County	2644	79	\$28,778	\$3,389		\$32,167
14	Cumberland County	2010	60	\$21,877	\$2,576		\$24,453
14	Lunenburg County	2569	77	\$27,961	\$3,293		\$31,254
14	Nottoway County	2867	86	\$31,205	\$3,675		\$34,880
14	Prince Edward County	2715	81	\$29,550	\$3,480		\$33,030
14 Total		19920	596	\$216,811	\$25,532	\$90,118	\$332,461
15	Charles City County	1282	38	\$13,953	\$1,643		\$15,596
15	Chesterfield County	23362	701	\$254,274	\$29,943		\$284,217
15	Goochland County	3378	101	\$36,767	\$4,330		\$41,097
15	Hanover County	7164	215	\$77,974	\$9,182		\$87,156
15	Henrico County	25055	752	\$272,701	\$32,113		\$304,814
15	New Kent County	1806	54	\$19,657	\$2,315		\$21,972
15	Powhatan County	4284	129	\$46,628	\$5,491		\$52,119
15	Richmond City	29842	895	\$324,804	\$38,248		\$363,052
15 Total		96173	2885	\$1,046,758	\$123,265	\$125,000	\$1,295,023
16	Caroline County	4033	121	\$43,896	\$5,169		\$49,065
16	Fredericksburg City	2411	72	\$26,242	\$3,090		\$29,332
16	King George County	1704	51	\$18,547	\$2,184		\$20,731
16	Spotsylvania County	9839	295	\$107,089	\$12,610		\$119,699
16	Stafford County	7980	239	\$86,855	\$10,228		\$97,083
16 Total		25967	778	\$282,629	\$33,281	\$102,296	\$418,206
17	Lancaster County	1736	52	\$18,895	\$2,225		\$21,120
17	Northumberland County	1962	59	\$21,355	\$2,515		\$23,870
17	Richmond County	2148	64	\$23,379	\$2,753		\$26,132
17	Colonial Beach Town	587	18	\$9,000	\$752		\$9,752
17	Westmoreland County	2603	78	\$28,331	\$3,336		\$31,667
17 Total		9036	271	\$100,960	\$11,581	\$68,198	\$180,739
18	Essex County	1559	47	\$16,968	\$1,998		\$18,966
18	Gloucester County	4717	142	\$51,340	\$6,046		\$57,386
18	King and Queen County	1183	35	\$12,876	\$1,516		\$14,392

18	West Point Town	241	7	\$9,000	\$309		\$9,309
18	King William County	1245	37	\$13,551	\$1,596		\$15,147
18	Mathews County	1107	33	\$12,049	\$1,419		\$13,468
18	Middlesex County	1388	42	\$15,107	\$1,779		\$16,886
18 Total		11440	343	\$130,891	\$14,663	\$73,039	\$218,593
19	Colonial Heights City	1627	49	\$17,708	\$2,085		\$19,793
19	Dinwiddie County	4603	138	\$50,100	\$5,900		\$56,000
19	Greensville County + Emporia City	3541	106	\$38,541	\$4,538		\$43,079
19	Hopewell City	3852	116	\$41,926	\$4,937		\$46,863
19	Petersburg City	6093	183	\$66,317	\$7,809		\$74,126
19	Prince George County	4065	122	\$44,244	\$5,210		\$49,454
19	Surry County	1090	33	\$11,864	\$1,397		\$13,261
19	Sussex County	1648	49	\$17,937	\$2,112		\$20,049
19 Total		26519	796	\$288,637	\$33,988	\$103,408	\$426,033
20	Chesapeake City	18170	545	\$197,764	\$23,288		\$221,052
20	Franklin City	1686	51	\$18,351	\$2,161		\$20,512
20	Isle of Wight County	3917	118	\$42,633	\$5,020		\$47,653
20	Norfolk City	27741	832	\$301,936	\$35,555		\$337,491
20	Portsmouth City	14032	421	\$152,726	\$17,985		\$170,711
20	Southampton County	3003	90	\$32,685	\$3,849		\$36,534
20	Suffolk City	9567	287	\$104,128	\$12,262		\$116,390
20	Virginia Beach City	26985	810	\$293,708	\$34,586		\$328,294
20 Total		105101	3154	\$1,143,931	\$134,706	\$125,000	\$1,403,637
21	Hampton City	13420	403	\$146,065	\$17,200		\$163,265
21	James City County + Williamsburg City	4677	140	\$50,905	\$5,994		\$56,899
21	Newport News City	16279	488	\$177,182	\$20,864		\$198,046
21	Poquoson City	672	20	\$9,000	\$861		\$9,861
21	York County	2813	84	\$30,617	\$3,605		\$34,222
21 Total		37861	1135	\$413,769	\$48,524	\$125,000	\$587,293
22	Accomack County	7087	213	\$77,136	\$9,083		\$86,219
22	Northampton County	2275	68	\$24,761	\$2,916		\$27,677
22 Total		9362	281	\$101,897	\$11,999	\$68,855	\$182,751
Grand Total		820641	24617	\$ 8,941,872	\$1,051,801	\$2,255,000	\$12,248,673

Data Source: U.S. Census Bureau. (2010). *American Community Survey*.

## APPENDIX E: APPLICATION CHECKLIST

*All items in the application must be submitted in the order listed below.*

Note: The budget workbook should be submitted electronically as described on page 10, and then all documents identified below should be printed, assembled as indicated below, and submitted to the appropriate address on page 4.

Form/Document	Requirements	Total Pages	Completed	DOE Use Only
<b>Application Checklist</b>	This checklist completed, verifying pages included	1	<input type="checkbox"/>	
<b>Contact Sheet</b>	From budget workbook; including all signatures required	1	<input type="checkbox"/>	
<b>Master Form</b>	From budget workbook; summary of regional budget	1	<input type="checkbox"/>	
<b>Request for Additional Administrative Funding</b>	Written justification for administrative funding beyond the allowable 5% (AEFLA and C & I)	2 (maximum)	<input type="checkbox"/>	
<b>Extension to regional Three-year Plan</b>		varies	<input type="checkbox"/>	
	Needs Assessment		<input type="checkbox"/>	
	Program Management and Instructional Standards		<input type="checkbox"/>	
	Recruitment, Retention, and Reporting		<input type="checkbox"/>	
	Career Pathways		<input type="checkbox"/>	
	Professional Development		<input type="checkbox"/>	
<b>Fourth Year Application for Funding</b>		varies	<input type="checkbox"/>	
	Measurable Goals and Objectives		<input type="checkbox"/>	
	Program Design		<input type="checkbox"/>	
	Capacity and Commitment		<input type="checkbox"/>	
	Budget Narrative		<input type="checkbox"/>	
<b>2013-2014 AEFLA Performance Table</b>	Electronic form, found in the Grants and Funding section of OAEL's Web site, must be completed.	1	<input type="checkbox"/>	
<b>Memoranda of Understanding (MOU)</b>	Copies of MOU establishing the regional partnership signed by all executive officers of participating agencies	Varies	<input type="checkbox"/>	
<b>Appendix</b>		Varies	<input type="checkbox"/>	
	State Assurances ( <i>Printed Name, Signature, Initials, and Date</i> )	4	<input type="checkbox"/>	
	Disclosure of Lobbying Activities (OMB 0348-0046) ( <i>Printed Name, Signature, and Date</i> )	1	<input type="checkbox"/>	
	Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013 12/98) ( <i>Printed Name, Signature, and Date</i> )	1	<input type="checkbox"/>	
	Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions (ED 80-0014 09/90) ( <i>Printed Name, Signature, and Date</i> )	1	<input type="checkbox"/>	